

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

REISSUE APPLICATION

Patentees/ : Stuart A. Fraser et al.  
Reissue  
Applicants  
Application No. : 09/859,661 Confirmation No. : ~~3833~~  
Filed : May 17, 2001  
For : AUTOMATED AUCTION PROTOCOL PROCESSOR  
For Reissue of  
Patent No. : 5,905,974  
Group Art Unit : 2161  
Examiner : James W. Myhre

3622  
RECEIVED  
TECHNOLOGY CENTER 3500  
03 JUN 27 AM 8:31

New York, New York 10020  
June 26, 2003

Hon. Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

SECOND SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

In addition to the documents cited in original patent number 5,905,974 of which the above-captioned application is a reissue application, and the documents already cited in this reissue application, and in accordance with 37 C.F.R. §§ 1.56

and 1.97, applicants wish to call the attention of the Examiner to the following documents:

**GROUP A**

U.S. Patents

Belcher et al.	3,656,148	April 11, 1972
Lupien et al.	5,689,652	November 18, 1997
Potter et al.	5,787,402	July 28, 1998
Ferstenberg et al.	5,873,071	February 16, 1998
Ausubel	5,905,975	May 18, 1999
Matsubara et al.	5,926,801	July 20, 1999
Hachino et al.	5,987,419	November 16, 1999
Rickard et al.	6,016,483	January 18, 2000
Hawkins et al.	6,029,146	February 22, 2000
Alaia et al.	6,230,146	May 8, 2001
Hawkins et al.	6,247,000	June 12, 2001
Howorka	6,282,521	August 28, 2001
Bi et al.	6,311,178	October 30, 2001
Jain et al.	6,343,278	January 29, 2002

Foreign Patents

Japan	62-256164	November 7, 1987
-------	-----------	------------------

### Other Documents

Massimb, M., et al, "Electronic Trading, Market Structure and Liquidity", Financial Analysts Journal, Jan-Feb 1994, pp. 39-50.

### **GROUP B**

#### U.S. Patents and Publications

Tozzoli et al.	6,151,588	November 21, 2000
Tilfors et al.	6,405,180	June 11, 2002
Keiser et al.	6,505,174	January 7, 2003
Wilton et al.	6,519,574	February 11, 2003
Brett	US2002/0023041	February 21, 2002
Johnson et al.	US2002/0091626	July 11, 2002
Satow et al.	US2003/0050888	March 13, 2003

### **GROUP C**

#### Foreign Patents

Great Britain	GB 2 258 061A	January 27, 1993
PCT	WO 95/26005	September 28, 1995

### Other Documents

Charles Schwab & Co., Inc., "Charles Schwab Street Smart", Charles Schwab Getting Started Manual, 1994, pp. 1-29.

Copies of the aforementioned documents, which are listed on the accompanying Form PTO-1449 (submitted in duplicate), are enclosed herewith. It is respectfully requested that these documents be (1) fully considered by the Patent and Trademark Office during examination of this application; and (2) printed on any patent which may issue on this application. Applicants request that a copy of Form PTO-1449, as considered and initialed by the Examiner, be returned with the next communication.

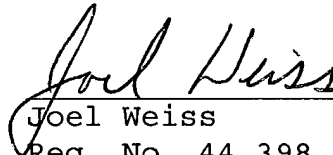
The aforementioned documents are being cited because they were cited in patent applications related to the above-captioned patent application. The documents cited under GROUP A were cited by the Examiner in reference to U.S. Patent Application No. 09/216,464, which is a continuation-in-part of the parent of the above-captioned patent application. The documents cited under GROUP B were cited by the Examiner in reference to U.S. Patent Application No. 10/251,717, which is a continuation of a continuation-in-part of the parent of the above-captioned patent application. The documents cited under GROUP C were cited by the Examiner in reference to U.S. Patent Application No. 09/294,526, now U.S. Patent 6,560,580, which is a divisional of the parent of the above-captioned patent

application. Applicants believe that none of the aforementioned documents is material to the claims of the above-captioned patent application.

Pursuant to 37 C.F.R. § 1.97(d)(2), applicants have enclosed a check in the amount of \$180.00 in payment of the fee for submission of an Information Disclosure Statement. The Director is hereby authorized to charge payment of any additional fees required in connection with this Statement, or credit any overpayment of the same, to Deposit Account No. 06-1075. A duplicate copy of this letter is transmitted herewith.

Consideration of the foregoing in relation to this patent application is respectfully requested.

Respectfully submitted,



Joel Weiss  
Reg. No. 44,398  
Attorney for Patentees/  
Reissue Applicants  
FISH & NEAVE  
Customer No. 1473  
1251 Avenue of the Americas  
New York, New York 10020-1104  
Tel.: (212) 596-9000  
Fax: (212) 596-9090

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

REISSUE APPLICATION

Patentees/ : Stuart A. Fraser et al.  
Reissue  
Applicants  
Application No. : 09/859,661 Confirmation No. : 3933  
Filed : May 17, 2001  
For : AUTOMATED AUCTION PROTOCOL PROCESSOR  
For Reissue of  
Patent No. : 5,905,974  
Group Art Unit : 2161  
Examiner : James W. Myhre

New York, New York 10020  
June 26, 2003

Hon. Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

SECOND SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

In addition to the documents cited in original patent number 5,905,974 of which the above-captioned application is a reissue application, and the documents already cited in this reissue application, and in accordance with 37 C.F.R. §§ 1.56

and 1.97, applicants wish to call the attention of the Examiner to the following documents:

**GROUP A**

U.S. Patents

Belcher et al.	3,656,148	April 11, 1972
Lupien et al.	5,689,652	November 18, 1997
Potter et al.	5,787,402	July 28, 1998
Ferstenberg et al.	5,873,071	February 16, 1998
Ausubel	5,905,975	May 18, 1999
Matsubara et al.	5,926,801	July 20, 1999
Hachino et al.	5,987,419	November 16, 1999
Rickard et al.	6,016,483	January 18, 2000
Hawkins et al.	6,029,146	February 22, 2000
Alaia et al.	6,230,146	May 8, 2001
Hawkins et al.	6,247,000	June 12, 2001
Howorka	6,282,521	August 28, 2001
Bi et al.	6,311,178	October 30, 2001
Jain et al.	6,343,278	January 29, 2002

Foreign Patents

Japan	62-256164	November 7, 1987
-------	-----------	------------------

Other Documents

Massimb, M., et al, "Electronic Trading, Market Structure and Liquidity", Financial Analysts Journal, Jan-Feb 1994, pp. 39-50.

**GROUP B**

U.S. Patents and Publications

Tozzoli et al.	6,151,588	November 21, 2000
Tilfors et al.	6,405,180	June 11, 2002
Keiser et al.	6,505,174	January 7, 2003
Wilton et al.	6,519,574	February 11, 2003
Brett	US2002/0023041	February 21, 2002
Johnson et al.	US2002/0091626	July 11, 2002
Satow et al.	US2003/0050888	March 13, 2003

**GROUP C**

Foreign Patents

Great Britain	GB 2 258 061A	January 27, 1993
PCT	WO 95/26005	September 28, 1995

Other Documents

Charles Schwab & Co., Inc., "Charles Schwab Street Smart", Charles Schwab Getting Started Manual, 1994, pp. 1-29.



Copies of the aforementioned documents, which are listed on the accompanying Form PTO-1449 (submitted in duplicate), are enclosed herewith. It is respectfully requested that these documents be (1) fully considered by the Patent and Trademark Office during examination of this application; and (2) printed on any patent which may issue on this application. Applicants request that a copy of Form PTO-1449, as considered and initialed by the Examiner, be returned with the next communication.

The aforementioned documents are being cited because they were cited in patent applications related to the above-captioned patent application. The documents cited under GROUP A were cited by the Examiner in reference to U.S. Patent Application No. 09/216,464, which is a continuation-in-part of the parent of the above-captioned patent application. The documents cited under GROUP B were cited by the Examiner in reference to U.S. Patent Application No. 10/251,717, which is a continuation of a continuation-in-part of the parent of the above-captioned patent application. The documents cited under GROUP C were cited by the Examiner in reference to U.S. Patent Application No. 09/294,526, now U.S. Patent 6,560,580, which is a divisional of the parent of the above-captioned patent

application. Applicants believe that none of the aforementioned documents is material to the claims of the above-captioned patent application.

Pursuant to 37 C.F.R. § 1.97(d)(2), applicants have enclosed a check in the amount of \$180.00 in payment of the fee for submission of an Information Disclosure Statement. The Director is hereby authorized to charge payment of any additional fees required in connection with this Statement, or credit any overpayment of the same, to Deposit Account No. 06-1075. A duplicate copy of this letter is transmitted herewith.

Consideration of the foregoing in relation to this patent application is respectfully requested.

Respectfully submitted,



---

Joel Weiss  
Reg. No. 44,398  
Attorney for Patentees/  
Reissue Applicants  
FISH & NEAVE  
Customer No. 1473  
1251 Avenue of the Americas  
New York, New York 10020-1104  
Tel.: (212) 596-9000  
Fax: (212) 596-9090

FORM PTO-1449	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. CF-007 Re	APPLICATION NO. 09/859,661
SECOND SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANTS		APPLICANTS Fraser et al.	CONFIRMATION NO. 3933
		FILING DATE May 17, 2001	GROUP 2161

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
			<b>GROUP A</b>			
	3,656,148	04/11/72	Belcher et al.	345	2.1	
	5,689,652	11/18/97	Lupien et al.	395	237	
	5,787,402	07/28/98	Potter et al.	705	37	
	5,873,071	02/16/99	Ferstenberg et al.	705	37	
	5,905,975	05/18/99	Ausubel	705	37	
	5,926,801	07/20/99	Matsubara et al.	705	37	
	5,987,419	11/16/99	Hachino et al.	705	1	
	6,016,483	01/18/00	Rickard et al.	705	37	
	6,029,146	02/22/00	Hawkins et al.	705	35	
	6,230,146	05/08/01	Alaia et al.	705	37	
	6,247,000	06/12/01	Hawkins et al.	705	37	
	6,282,521	08/28/01	Howorka	705	37	
	6,311,178	10/30/01	Bi et al.	707	3	
	6,343,278	01/29/02	Jain et al.	705	37	
			<b>GROUP B</b>			
	6,151,588	11/21/00	Tozzoli et al.	705	37	
	6,405,180	06/11/02	Tilfors et al.	705	37	
	6,505,174	01/07/03	Keiser et al.	705	37	
	6,519,574	02/11/03	Wilton et al.	705	35	
	US2002/0023041	02/21/02	Brett	705	37	
	US2002/0091626	07/11/02	Johnson et al.	705	37	
	US2003/0050888	03/13/03	Satow et al.	705	37	

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicants.

FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

SECOND SUPPLEMENTAL INFORMATION DISCLOSURE  
STATEMENT BY APPLICANTS

ATTY. DOCKET NO.  
CF-007 Re

APPLICATION  
NO. 09/859,661

APPLICANTS  
Fraser et al.

CONFIRMATION  
NO. 3933

FILING DATE  
May 17, 2001

GROUP  
2161

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
			<b>GROUP A</b>				
	62-256164	11/07/87	Japan	G06F	15/18		X
			<b>GROUP C</b>				
	GB 2 258 061A	01/27/93	GB	G06F	15/30		
	WO 95/26005	09/28/95	PCT	G06F	17/60		

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER INITIAL	
	<b>GROUP A</b>
	Massimb, M., et al, "Electronic Trading, Market Structure and Liquidity", <u>Financial Analysts Journal</u> , Jan-Feb 1994, pp. 39-50.
	<b>GROUP C</b>
	Charles Schwab & Co., Inc., "Charles Schwab Street Smart", <u>Charles Schwab Getting Started Manual</u> , 1994, pp. 1-29.

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicants.

FORM PTO-1449	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. CF-007 Re	APPLICATION NO. 09/859,661
SECOND SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANTS		APPLICANTS Fraser et al.	CONFIRMATION NO. 3933
		FILING DATE May 17, 2001	GROUP 2161

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
			<b>GROUP A</b>			
	3,656,148	04/11/72	Belcher et al.	345	2.1	
	5,689,652	11/18/97	Lupien et al.	395	237	
	5,787,402	07/28/98	Potter et al.	705	37	
	5,873,071	02/16/99	Ferstenberg et al.	705	37	
	5,905,975	05/18/99	Ausubel	705	37	
	5,926,801	07/20/99	Matsubara et al.	705	37	
	5,987,419	11/16/99	Hachino et al.	705	1	
	6,016,483	01/18/00	Rickard et al.	705	37	
	6,029,146	02/22/00	Hawkins et al.	705	35	
	6,230,146	05/08/01	Alaia et al.	705	37	
	6,247,000	06/12/01	Hawkins et al.	705	37	
	6,282,521	08/28/01	Howorka	705	37	
	6,311,178	10/30/01	Bi et al.	707	3	
	6,343,278	01/29/02	Jain et al.	705	37	
			<b>GROUP B</b>			
	6,151,588	11/21/00	Tozzoli et al.	705	37	
	6,405,180	06/11/02	Tilfors et al.	705	37	
	6,505,174	01/07/03	Keiser et al.	705	37	
	6,519,574	02/11/03	Wilton et al.	705	35	
	US2002/0023041	02/21/02	Brett	705	37	
	US2002/0091626	07/11/02	Johnson et al.	705	37	
	US2003/0050888	03/13/03	Satow et al.	705	37	

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicants.

FORM PTO-1449	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. CF-007 Re	APPLICATION NO. 09/859,661
SECOND SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANTS		APPLICANTS Fraser et al.	CONFIRMATION NO. 3933
		FILING DATE May 17, 2001	GROUP 2161

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
			<b>GROUP A</b>				
	62-256164	11/07/87	Japan	G06F	15/18		X
			<b>GROUP C</b>				
	GB 2 258 061A	01/27/93	GB	G06F	15/30		
	WO 95/26005	09/28/95	PCT	G06F	17/60		

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER INITIAL	
	<b>GROUP A</b>
	Massimb, M., et al, "Electronic Trading, Market Structure and Liquidity", <u>Financial Analysts Journal</u> , Jan-Feb 1994, pp. 39-50.
	<b>GROUP C</b>
	Charles Schwab & Co., Inc., "Charles Schwab Street Smart", <u>Charles Schwab Getting Started Manual</u> , 1994, pp. 1-29.

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicants.

DOCKET NO. CF-007 Re  
CONFIRMATION NO. 3933

APPLICANT Stuart A. Fraser et al.

APPLICATION NO. 09/859,661 FILED May 17, 2001

RECEIPT IS HEREBY ACKNOWLEDGED OF THE  
Second Supplemental Information Disclosure Statement (in duplicate); Form PTO-1449  
(in duplicate); and 26 cited references.

DATED June 26, 2003

FILED IN CONNECTION WITH THE ABOVE CASE.

COMMISSIONER FOR PATENTS

AVC: 00718.007

**FISH & NEAVE**  
**1251 Avenue of the Americas**  
**New York, NY 10020**

